

Please type a plus sign (+) inside this box → ☐

PTO/SB/92 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REVOCATION OF POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/950,917
Filing Date	Sept. 12, 2001
First Named Inventor	John H. Stevens
Group Art Unit	3738
Examiner Name	David J. Isabella
Attorney Docket Number	HRT0271

I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

☒ A Power of Attorney or Authorization of Agent is submitted herewith.

OR

☐ Please change the correspondence address for the above-identified application to:

☐ Customer Number



Place Customer
Number Bar Code
Label here

OR

☐ Firm or
Individual Name

Address

Address

City

Country

State

ZIP

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name

Brian S. Tomko, Assistant Secretary, Heartport, Inc.

Signature

Date

April 14, 2003

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box → ☐

PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0036

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/950,917
Filing Date	Sept. 12, 2001
First Named Inventor	John H. Stevens
Title	Minimally-Invasive Devices & Methods for Treatment of...
Group Art Unit	3738
Examiner Name	David J. Isabella
Attorney Docket Number	HRT0271

I hereby appoint:

☒ Practitioners at Customer Number

000027777

Place Customer
Number Bar Code
Label here

OR

☒ Practitioner(s) named below:

Name	Registration Number
Thomas Spinelli	39,533
Frank DiGiglio	31,346
Paul J. Esotto, Jr.	30,749

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

Place Customer
Number Bar Code
Label here

OR

☐ Firm or
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Brian S. Tomko, Assistant Secretary, Heartport, Inc.
Signature	<i>BST</i>
Date	April 14, 2003

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Heartport, Inc.Application No./Patent No.: 09/950,917 Filed/Issue Date: Sept. 12, 2001Entitled: Minimally-Invasive Devices and Methods for Treatment of Congestive Heart FailureHeartport, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. [] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. [x] A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Inventors To: Stanford Surgical Technologies Inc.The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.2. From: Stanford Surgical Tech, Inc. To: Heartport, Inc.The document was recorded in the United States Patent and Trademark Office at
Reel 7577, Frame 0200, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet.

- [x] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

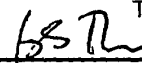
The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

April 14, 2003

Date

Brian S. Tomko

Typed or printed name



Signature

Assistant Secretary, Heartport, Inc.

Title

159

CERTIFICATE UNDER 37 C.F.R. § 3.7.(b)

14635-003600

Applicant(s): Stanford Surgical Technologies, Inc.

Serial No.: 08/394,333 Filed: February 24, 1995

For: Devices and Methods for Performing a Vascular

Stanford Surgical Technologies, Inc., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation,
partnership, university, government
agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame(s) _____, for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 2/9/95

Name : Wesley D. Sterman

Title : President and C.E.O.

Signature: [Signature]

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

HANSON S. GIFFORD, III, LEE R. BOLDUC,
JEFFREY A. STEIN, PAUL C. DICEASARE,
PETER F. COSTA & WILLIAM A. HOLMES

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: STANFORD SURGICAL TECHNOLOGIES, INC.

Internal Address:

Street Address: 200 CHESAPEAKE DRIVE

City: REDWOOD CITY State: CALIFORNIA ZIP: 94063

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: 4/3, 4/6, 4/10/95

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 08/394,333

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: James M. Heslin
TOWNSEND and TOWNSEND KHOURIE and CREW
Twentieth Floor
Steuart Street Tower
One Market Plaza
San Francisco, California 94105-1492
(415) 326-2400

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41):..... \$ 40.00

- ☐ Enclosed ☒ Charge Fees to Deposit Account
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

James M. Heslin
Name of Person Signing

Signature

APRIL 24, 1995
Date

Atty. Reg. No. 29,541

Total number of pages including cover sheet, attachments, and document:

10. Change Correspondence Address to that of Part 5? ☐ Yes ☒ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Do not detach this portion
Commissioner of Patents and Trademarks
Box Assignments
Washington, D.C. 20231

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, HANSON S. GIFFORD, III, residing at 3180 Woodside Road, Woodside, California 94062; LEE R. BOLDUC, residing at 761-1/2 Palo Alto Avenue, Mountain View, California 94041; JEFFREY A. STEIN, residing at 11 Pinehill Road, Woodbridge, Connecticut 06325; PAUL C. DICESARE, residing at 10 Jarvis Street, Norwalk, Connecticut 06851; PETER F. COSTA, residing at 80 Johnson Avenue, Winthrop, Massachusetts 02152; and WILLIAM A. HOLMES, residing at 7 Bradlee Road, Marblehead, Massachusetts 01945, hereinafter referred to as "Assignors", are the inventors of the invention described and set forth in the below identified application for United States Letters Patent:

Title of the Invention: DEVICES AND METHODS FOR PERFORMING A VASCULAR ANASTOMOSIS

Date(s) of Execution: 4/3, 4/6, 4/10/95

Filing date: February 24, 1995


Serial No.: 08/394,333; and

WHEREAS, STANFORD SURGICAL TECHNOLOGIES, INC., a California Corporation, located at 200 Chesapeake Drive, Redwood City, California 94063, hereinafter referred to as "Assignee", is desirous of acquiring an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same:


For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents does assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and all future improvements thereon, and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interests to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.


IN TESTIMONY WHEREOF. Assignors have signed their names on the dates indicated.


HANSON S. GIFFORD, III

4/10/95
Date


LEE R. BOLDUC


4/10/95
Date


JEFFREY A. STEIN

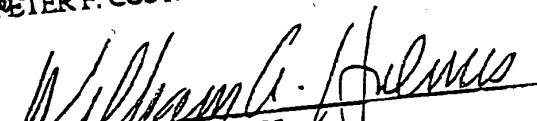
4/3/95
Date


PAUL C. DICESARE

4/3/95
Date


PETER F. COSTA

4-6-95
Date


WILLIAM A. HOLMES

4.6.95
Date

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MINIMALLY-INVASIVE DEVICES AND METHODS FOR
TREATMENT OF CONGESTIVE HEART FAILURE**

the specification of which is attached hereto.

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

<u>Application No.</u>	<u>Country</u>	<u>Date of Filing</u>	<u>Priority Claimed Under 35 USC 119</u>
NONE			

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

<u>Application No.</u>	<u>Filing Date</u>	<u>Status</u>
NONE		

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Date of Filing</u>	<u>Status</u>
08/485,600	June 7, 1995	Pending
08/281,962	July 28, 1994	Abandoned
08/163,241	December 6, 1993	Allowed
08/023,778	February 22, 1993	Issued

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Jeffry J. Grainger, Reg. No. 36,815
Jens E. Hoekendijk, Reg. No. 37,149
Michael L. Louie, Reg. No. 36,988
James M. Heslin, Reg. No. 29,541

Send Correspondence to:
Jeffry J. Grainger
HEARTPORT, INC.
200 Chesapeake Drive
Redwood City, CA 94063


Direct Telephone Calls to:
Jeffry J. Grainger
Reg. No. 37,149
Telephone: (415) 306-7900

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full name of sole or one
joint inventor:

John H. Stevens

Inventor's signature:



Date:

July 22, 1996

Residence & Post Office Address:

727E Longa Verde Avenue
Palo Alto, CA 94303

Citizenship:

United States

Full name of sole or one
joint inventor:

Lee R. Bolduc

Inventor's Signature:



Date:

7/16/96

Residence & Post Office Address:

761-1/2 Palo Alto Avenue
Mountain View, CA 94041

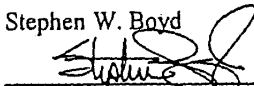
Citizenship:

United States

Full name of sole or one
joint inventor:

Stephen W. Boyd

Inventor's Signature:



Date:

17 JULY 96

Residence & Post Office Address:

333 Palomar Drive
Redwood City, CA 94062

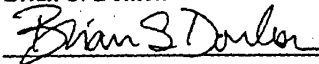
Citizenship:

United States

Full name of sole or one
joint inventor:

Brian S. Donlon

Inventor's Signature:



Date:

7/16/96

Residence & Post Office Address:

13944 Fremont Pines
Los Altos Hills, CA 94022

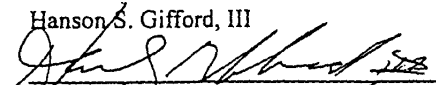
Citizenship:

United States

Full name of sole or one
joint inventor:

Hanson S. Gifford, III

Inventor's Signature:



Date:

7/22/96

Residence & Post Office Address:

3180 Woodside Road
Woodside, CA 94062

Citizenship:

United States

Full name of sole or one
joint inventor:

Philip R. Houle

Inventor's Signature:

Philip R. Houle

Date:

7/22/96

Residence & Post Office Address:

525 Homer Avenue, Apt. #8
Palo Alto, CA 94301

Citizenship:

United States

Full name of sole or one
joint inventor:

Daniel C. Rosenman

Inventor's Signature:

Daniel C. Rosenman

Date:

7/16/96

Residence & Post Office Address:

1415 Waller Street #3
San Francisco, CA 94117

Citizenship:

United States